

SECTION 211: PAYROLL AUTHORIZATION1. General Description.

- (a) The primary pay authorization documents used in the State of Hawaii payroll accounting system are the series of forms entitled, NOTIFICATION OF PERSONNEL ACTION. These forms are approved by an appointing authority (head of a department or agency of the State) or his authorized agent and in most cases, certified by an authority (Director of Personnel Services for STATE DPS FORM 5, Superintendent of Education for SF-5A, and the President of the University of Hawaii for SF-5B) or his authorized agent.
- (b) Primary pay authorization documents are required by the Comptroller (paying authority) to authorize the establishment of, the subsequent changes to, the termination of, employees' pay and payroll records maintained by the data processing center and Central Payroll. Also, these authorization documents provide the foundation which enables the Comptroller to control effectively and to account for all payroll expenditures.
- (c) Personnel action documents originate in the personnel office of an employing department or agency and are used to report the following types of personnel/payroll actions:
 - (1) New hire appointments.
 - (2) Subsequent changes to employment status.
 - (3) Subsequent changes affecting payroll payments.
 - (4) Termination of employment.
- (d) In addition to the primary payroll authorization documents mentioned above, there are other documents used in authorizing pay to employees of the State. These documents are covered in other sections of this Manual and include various types of time sheets, change schedules, and exception documents.

2. Legal Provisions. The statutes underlying the personnel authorities referred to above can be categorized by the type of position involved, as follows:

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(a) Civil Service Positions.

- (1) Provisions set forth in Chapters 76 and 77, Hawaii Revised Statutes.
- (2) The Director of Personnel Services requires his certification and approval of all personnel actions for employees occupying Civil Service positions.

(b) Partially Exempt Positions.

- (1) Provisions set forth in Chapters 76 and 77, 296 and 297, and 304, Hawaii Revised Statutes.
- (2) The Director of Personnel Services requires his certification and approval of all personnel actions for employees occupying partially exempt positions.

(c) Certificated Positions.

- (1) Provisions set forth in Chapters 296 and 297, Hawaii Revised Statutes.
- (2) The Superintendent of Education requires his certification and approval of all personnel actions for employees occupying certificated positions at the Department of Education.

(d) Board of Regents Positions.

- (1) Provisions set forth in Chapter 304, Hawaii Revised Statutes.
- (2) The President of the University of Hawaii requires his certification and approval of all personnel actions for employees occupying Board of Regent positions at the University.

(e) Totally Exempt Positions. These are all other positions categorized into any of the four types indicated above. These positions are partially covered by or specifically exempt from the provisions set forth in Chapters 76 and 77, 296 and 297, and 304, Hawaii Revised Statutes.

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3. Payroll Payment. The statutes relating to the Comptroller's paying authority are found primarily in Chapter 40 of the Hawaii Revised Statutes. Sections 40-53, -54, and -55, refer specifically to payroll payments. Payroll payments are additionally covered by the sections covering State warrants generally, by Section 40-59 covering records to be retained, and Section 40-6 covering accounting forms.

4. Forms.

(a) The primary pay authorization forms used in this payroll accounting system are as follows:

- (1) STATE DPS FORM 5, NOTIFICATION OF PERSONNEL ACTION form is used when personnel actions are reported to the Director of Personnel Services for his certification.
- (2) The SF-5A, NOTIFICATION OF PERSONNEL ACTION form is used when personnel actions are reported to the Superintendent of Education for his certification.
- (3) The SF-5B, NOTIFICATION OF PERSONNEL ACTION form is used when personnel actions are reported to the President of the University of Hawaii for his certification.
- (4) The STATE DPS FORM 10, NOTIFICATION OF TEMPORARY ASSIGNMENT form is used when temporary assignment and temporary assignment pay are reported to the State Comptroller for his review and verification.
- (5) Totally exempt positions, as authorized by law or approved by the Director of Personnel Services, may be processed through the use of computer listings, forms, or schedules that are approved by the State Comptroller.

(b) For Sample Forms and Related Instructions:

- (1) Refer to the respective procedures of the certifying authorities for instructions in completing the three types of NOTIFICATION OF PERSONNEL ACTION. Sample forms are contained in Part 700, Appendix.
- (2) Refer to Part 700, Appendix, for sample forms and related instructions for STATE DPS FORM 10 and for other forms that are approved by the State Comptroller.

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5. Procedures. Departmental procedures for the preparation, reviewing, and routing of pay authorization forms are as follows:

(a) Departmental personnel responsible for processing NOTIFICATION OF PERSONNEL ACTION forms will prepare the number of copies as follows:

(1) STATE DPS FORM 5: 7 copies

(2) SF-5A: 8 copies

(3) SF-5B: 8 copies

(b) Instructions for the preparation of NOTIFICATION OF PERSONNEL ACTION forms as issued by the respective certifying officers (DPS, DOE, and UH for STATE DPS FORM 5, SF-5A, and SF-5B, respectively) are followed.

(c) When all the signatures and approvals required within the employing department or agency have been obtained, all copies of the forms are assigned a seven digit departmental control number. This number is assigned to ensure that proper form control is maintained over reported appointment authorization documents. Special instructions for the assignment and use of the number are as follows:

(1) The first digit is the department's alpha code.

(2) The second digit designates the type of position being reported (A - DOE Certificated Position; B - Board of Regents Position; and 0 - all other positions).

(3) The last five digits are assigned sequentially and are reset to "00001" at the beginning of each new fiscal year.

(4) Examples of departmental control number assignments are:

	STATE DPS <u>Form 5</u>	<u>SF-5A</u>	<u>SF-5B</u>
Last number assigned	E000080	EA00065	FB00110
Current number assigned	E000081	EA00066	FB00111
Next number to be assigned	E000082	EA00067	FB00112

(5) The forms that are prepared to correct or cancel prior forms are assigned the same control numbers that were originally assigned to the forms that are to be corrected or cancelled.

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(6) The control number is typed on the forms as follows:

STATE DPS FORM 5: In the upper right corner of Item (51),
directly between the blocks for Items (49)
and (50) .

SF-5A: Above the signature of the superintendent
and directly under the instructions number 6
of Item (42) .

SF-5B: In the block for Item (54) , after "DOC. No."
which is located on the far right side of the
block.

- d. All copies of the forms are forwarded, on a daily basis, to the
certifying authorities for certification and subsequent distribution.

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